DOCUMENT RESUME

ED 372 793 JC 940 430

TITLE	A Report Prepared for Visiting Committees [of the] Commission on Colleges, Southern Association of Colleges and Schools.
INSTITUTION	Kentucky Univ., Lexington. Community Coll. System.
PUB DATE	94
NOTE	71p.; For the first edition, see ED 340 431.
PUB TYPE	Reports - Descriptive (141)
EDRS PRICE	MF01/PC03 Plus Postage.
DESCRIPTORS	*Administrative Organization; Administrative Policy; Advisory Committees; *College Administration; Community Colleges; Governance; Governing Boards; Government School Relationship; *Institutional Characteristics; Institutional Mission; *Policy Formation; *Program Descriptions; Self Evaluation (Groups); Statewide Planning; Student Organizations; Two Year Colleges
IDENTIFIERS	Kentucky; *University of Kentucky Community College System

ABSTRACT

Designed to provide visiting committees of the Commission on Colleges with an orientation to the University of Kentucky Community College System (UKCCS), this nine-part report provides a detailed description of the UKCCS, including a review of its governance structure, planning and evaluation processes, and relationships among the 14 colleges in the system, and staff and student groups. Part I reviews the creation of the UKCCS system, describes system colleges and powers of the governing board, and explains the system's relationship to the University of Kentucky (UK). Part II reviews the development and approval of academic policy and practice in the community college senate and council, senate advisory committees, senate standing committees, and discusses UK lower-division courses. Part III examines the role of the System Office in assessing overall institutional effectiveness, and describes mandated reviews and the use of evaluation results. Part IV focuses on the planning cycle and the budget development process, while part V reviews relationships with and authority of external agencies, including the state Council on Higher Education and Cabinet for Workforce Development. Part VI outlines the delegation of authority and relationships between the UKCCS Office and the 14 colleges, and part VII describes the organization and function of faculty groups, student groups, the alumni association, and other groups. Part VIII provides an appraisal of the effectiveness of the UKCCS in meeting its goals in 1992-93. Finally, part IX forecasts enrollments and major programmatic and capital trends for 1994-98. (KP)

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A Report Prepared

for

Visiting Committees
Commission on Colleges

Southern Association of Colleges and Schools

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UK Community College System

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A Report Prepared

for

Visiting Committees
Commission on Colleges

Southern Association of Colleges and Schools

University of Kentucky
Community College System

Second Edition
Summer 1994

University of Kentucky
Community College System

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FOREWORD

This publication is designed to provide visiting committees of the Commission on Colleges with an orientation to the University of Kentucky Community College System. It was prepared by the Chancellor's staff, and any questions regarding the contents should be directed to the Chancellor's Office.

Ben. W. Carr, Jr.
Chancellor
Community College System
University of Kentucky

I. Description of the System and the Governing Board.

Creation and Establishment. The University of Kentucky Community College System was created when the Kentucky General Assembly enacted the Community College Act of 1962. The original legislation mandated the formation of a statewide system of community colleges to be administered by the University of Kentucky with the Board of Trustees serving as the policy-making body.

The University of Kentucky Board of Trustees, acting under the authority of the 1962 Community College Act, established the University of Kentucky Community College System and adopted a community college policy statement in 1964. In order to distinguish properly the respective roles of the University and the community colleges, the Board approved setting up two systems under the President and the Board of Trustees--the University System composed of the Lexington campus, the medical center and the statewide functions of research and service, and the Community College System. The Community College System began operation on July 1, 1964.

Mission of the Community College System. By action of the Kentucky General Assembly (KRS 164.580) and the University of Kentucky Board of Trustees, the Community College System is charged with three specific functions:

1. To offer career-oriented programs designed to prepare students for immediate technical or semi-professional employment. These programs are usually completed in two years and are composed of general education courses and career-oriented or technical courses. The Associate in Applied Science degree is awarded upon completion of the curriculum.

2. To offer curricula for the first two years of a baccalaureate program. Courses parallel university offerings and are transferable to the University System of

the University of Kentucky or to another four-year institution, public or private. At the conclusion of the prescribed curriculum, the Associate in Arts degree or Associate in Science degree is awarded.

3. To provide general educational opportunities for citizens in their immediate areas. These programs include workshops, seminars, short courses, job-specific training, concert series, exhibits, lectures, dramatic presentations, and festivals to meet the professional development, occupational training, and life enrichment needs of the community.

The Community College System mission statement adopted in April 1979 by the Kentucky Council on Higher Education was refined as part of the restructuring and refinement of higher education by the Governor's Higher Education Review Commission in fall 1993. The refined mission statement was endorsed by the Council on Higher Education in March 1994 as a part of the *Report of the Governor's Higher Education Review Commission* and adopted in July 1994. Both the original statement and the refined statement reaffirm the comprehensive role and scope of the community colleges as set forth in the statutes.

Colleges Comprising the System. The 14 colleges which comprise the Community College System reflect the geographical, cultural, and industrial diversities of their regions; and they serve more than 48,000 credit students. Additionally, approximately 400,000 citizens benefit from continuing education and community service activities provided by the colleges on an annual basis.

Each of the colleges is individually accredited by the Commission on Colleges of the Southern Association of Colleges and Schools (SACS). Thirteen of the colleges received reaffirmation of accreditation visits during 1990-91. The fourteenth and newest college, Owensboro, was visited during the fall of 1989 for review for initial accreditation. Owensboro Community College was fully accredited effective January 1990.

A map on Page 3 shows the locations of the colleges and their opening dates of operation.

University of Kentucky Community College System

Community College	Opening Dates
Ashland Community College*	1957
Elizabethtown Community College	1964
Hazard Community College	1968
Henderson Community College*	1960
Hopkinsville Community College	1965
Jefferson Community College	1968
Lexington Community College	1965
Madisonville Community College*	1968
Maysville Community College	1968
Owensboro Community College	1986
Paducah Community College	1968
Prestonsburg Community College	1964
Somerset Community College	1965
Southeast Community College*	1960

*A University of Kentucky Extension Center prior to 1964.

Governing Board. As provided in the original Community College Act, the University of Kentucky Board of Trustees has the ultimate responsibility and authority for the Community College System.

1. The board has the same powers with respect to the community colleges that it has as to the University of Kentucky in general. The board shall designate each community college with a name that includes the words "Community College."

2. The board shall encourage and may accept donations of land or funds or both to be used in the acquisition, construction, or operation of community colleges. The board may commemorate donations from private persons or corporations with suitable memorials.

3. The board may accept federal grants to be used in the acquisition, construction, or operation of community colleges (KRS 164.595).

The Board of Trustees consists of twenty members--sixteen members appointed by the Governor, two members of the faculty of the University System, one member of the teaching faculty of the Community College System, and one member of the student body of the University System. Three of the appointed members must be graduates of the University and may include one graduate of the University who resides outside the Commonwealth; three of the appointed members must be representative of agriculture interests, and the other ten appointed members are distinguished citizens representative of the learned professions. The term of appointed members is six years. The Governor makes Board appointments so as to reflect proportional representation of the two leading political parties in Kentucky, and to reflect no less than proportional representation of the minority racial composition of the state. The University System faculty members must hold the rank of assistant professor or above. They are elected by secret ballot by faculty members of the rank of assistant professor or above in the University System. The faculty member representing the Community College System is elected by secret ballot by members of the community college faculties. Both University System and Community College System faculty members serve three-year terms on the Board. University System faculty members are eligible for reelection, but no community college may have a faculty representative on the Board for more than one term in

succession. The student member is the president of the student body of the University System. The student member serves for a term of one year (KRS 164.131). Board membership is listed on Page 7.

As described in KRS 164.160, the Board of Trustees is a body corporate with the usual corporate powers, and "possesses all the immunities, rights, privileges, and franchises usually attaching to the governing bodies of educational institutions. The Board may receive, hold, and administer, on behalf of the University, subject to the conditions attached, all revenues accruing from endowments, appropriations, allotments, grants or bequests, and all types of property."

The Board must hold at least four regular meetings per year on dates designated by law. Special meetings may be called by the chairperson or by any three members upon giving ten days written notice to each member. The Board meetings are open to the public (KRS 164.170).

The powers and responsibilities of the Board include the following:

1. It may establish regulations for the governance of the University and the physical training, military or otherwise, of the students. (KRS 164.200)

2. It may determine the colleges, schools, divisions, departments, bureaus, and offices which comprise the University within the scope of the Acts of Congress approved July 2, 1862, and acts supplementary thereto. (KRS 164.210)

3. It may appoint a president, professors, assistants, tutors, and other personnel and determine the compensation, duties, and official relations of each. (KRS 164.220)

4. It has full power to suspend or remove any of the officers, teachers, professors, or agents that it is authorized to appoint, except that no president, professor, or teacher may be removed except for incompetency, neglect of or refusal to perform duties, or for immoral conduct. (KRS 164.230)

5. It may grant degrees to graduates of the University. (KRS 164.240)

6. It is required to make a full report to the General Assembly, within the first month of each regular session, of the condition and operation of the University since the date of the previous report. (KRS 164.250)

7. It may acquire additional lands or other property or material for the purpose of expanding the plant and extending its usefulness. (KRS 164.260)

8. It may, with the approval of the governor, dispose of real estate held by the Commonwealth for the use or benefit of the University or the Kentucky Agricultural Experiment Station. (KRS 164.270) (Real estate situated in the city of Lexington within the area described in KRS 164.270 is excluded.)

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Relationship with the University System. The "Policy Statement on the Community College System," in the *University of Kentucky Administrative Regulations* (AR II-5.0-1, p. 1), states that:

> The present policy is a reflection of the philosophy that the Community College System is, in development, function, and enrollment, a valid component and not an addendum of the University's total effort to serve the higher educational needs of the citizens of Kentucky. Cooperation rather than authority is deemed necessary to provide the flexibility and responsiveness essential for a viable and evolving comprehensive Community College System under the University umbrella. The relationships between the two Systems shall be that of mutual liaison and interchange with common supportive services available to both. The community colleges, as they strive to fulfill their statutory functions, are to be administratively free to meet changing challenges with an internally determined and responsive flexibility.

The University provides many centralized services, which, in effect, are purchased from the University. These services include those related to business (purchasing, accounting, payroll, employee benefits), design and construction of facilities, information systems, and financial aid. Other services available from the University include library, legal, publications and printing, and administration of extramural funding. In the academic area, the University System and the Community College System faculties collaborate on various academic endeavors. These include the development of Cross-Disciplinary clusters, the revision of transfer courses in English, biology, and mathematics, and the offering of faculty development programs, including internationalizing the curriculum. Many of these endeavors are financed through grant programs shared by the two Systems. Also, community college faculty and staff have the opportunity to pursue advanced course work at the University under the tuition defrayal plan.

In summary, Kentucky's pattern of development and administrative structure of community colleges is somewhat unique. The strong, supportive governance structure, the leadership provided by the Board, the University President, the Chancellor, and the continuous involvement and leadership from local citizens through the community college advisory boards have led to the fulfillment of the Kentucky General Assembly's vision of a Community College System that is responsive to local needs and open to all.

II. Development and Approval of Academic Policy and Practice.

Community College Senate. The Senate of the Community College System (Senate) is recognized as one of three primary educational policy-forming agencies of the University--the other two are the Board of Trustees and the University Senate (*University of Kentucky Governing Regulations* III-1). As authorized by the Board of Trustees in the *Governing Regulations*, the Senate has developed its own regulations for the conduct of its functions. These regulations, which describe academic policies and procedures for their implementation, are contained in the *Rules of the Senate of the Community College System* (*Rules*).

The functions of the Senate include the following:

1. Approving academic policies and curricula for the Community College System.

2. Approving courses and other academic offerings in the Community College System not offered in the University System.

3. Approving policies and regulations governing admission, classification, probation, and dismissal of Community College System students.

4. Approving an academic calendar generally consistent with the University System calendar.

5. Recommending to the University Senate on courses offered in the Community College System which are also offered in the University System.

6. Recommending to the Chancellor for the Community College System on criteria for faculty appointments, reappointments, promotions and granting of tenure in the Community College System.

7. Recommending to the University President all candidates for degrees and certificates from the community colleges. (The Senate has delegated this responsibility to the faculties of the community colleges.)

As specified in the *Governing Regulations*, the Senate may perform its functions directly, through its Council, through standing, special or advisory committees, or through delegation of authority and responsibility to the faculties of the individual community colleges.

The Chancellor for the Community College System serves as chairperson of the Senate. The Senate meets annually in regular session and special sessions may be called by the University President, the Chancellor, or by a written petition of 15 senators. Meetings are open unless the Senate declares itself in executive session by a majority of the senators present when authorized under provisions of the Kentucky Open Meetings Act.

As a total body of the Community College System, the faculty are represented by the Senate. The Senate is composed of elected, appointed, and ex officio members. The term for each elected senator is two years. The elected membership consists of three representatives from the full-time faculty of each community college and an additional representative(s) for each 25 or major fraction thereof (13 or more) full-time faculty members above the first 25. At least one of the elected representatives must be in the occupational program area and one in the general education area. One of the elected representatives at the time of election is designated by the community college faculty as a member of the Council.

The appointed membership consists of three community college presidents and three other administrators, with each appointment made by the Chancellor for the Community College System. The term for each appointed senator is two years.

The ex officio membership includes the Community College System Chancellor, the Vice Chancellor for Academic Affairs, the chairpersons of the Senate advisory committees, and the president of each community college's student body. The community college faculty member elected to the Board of Trustees, any appointed member of the Council, the University System Undergraduate Council and University Studies Program Committee representatives are also ex officio members. Ex officio members enjoy all privileges of elected and appointed members.

Community College Council. The Senate delegates to its Council and/or its committees the largest degree of authority in handling recurring and routine matters in order

that meetings of the Senate may be devoted largely to communication and consideration of matters of educational policy.

The Council serves as an executive committee for the Senate in exercising the functions delegated to the Senate by the *Governing Regulations*. The Council also serves in an advisory capacity to the Chancellor on all matters relative to the welfare of the System.

The Council consists of elected, appointed, and ex officio members. The elected membership is determined in the following way:

- Each community college elects one of its Senators to serve on the Council
- Two students are elected by and from the student members of the Senate
- One community college president is chosen by and from the three community college presidents who are members of the Senate.

Additionally, the Chancellor may appoint a maximum of three faculty members to the Council in the event there is an imbalance in the elected membership in terms of professional areas of specialization.

The Chancellor and Vice Chancellor for Academic Affairs are ex officio members of the Council. The chairpersons of the standing committees of the Senate, the community college faculty member on the Board of Trustees, and the University System Undergraduate Council and University Studies Program Committee representatives are also ex officio members.

The Chancellor serves as the Chairperson of the Council, and a co-chairperson is elected by and from the elected membership during the first meeting of the academic year.

The Council meets in regular session at least once each semester and once in the summer. Special sessions may be called by the University President or by the Chancellor. Community College System students, faculty, staff, and advisory board members may attend Senate and/or Council meetings and request the privilege of the floor.

Senate Advisory Committees. Three committees are responsible in an advisory capacity to the University President, Chancellor for the Community College System, and Council and Senate. The *Senate Advisory Committee on Student Services* advises on any

matter concerning the Code of Student Conduct, student organizations, facilities, privileges, responsibilities, and counseling. The *Senate Advisory Committee on Professional Activities* recommends on matters concerning faculty qualifications, performance, promotion, rank and tenure. The *Privilege and Tenure Committee* gives preliminary consideration to matters such as allegations of violations of academic freedom of a tenured faculty member, and it may recommend a formal review of allegations by the Hearing Panel (Privilege and Tenure) of the Senate. The Hearing Panel consists of 15 members appointed for staggered three-year terms by the University President from a list of nominees recommended by the Community College Council. An ad hoc Hearing Committee, consisting of five persons chosen by lot from the Panel, hears a case arising from dismissal of a faculty member with continuous tenure or of a non-tenured member before the end of the faculty member's specific term of appointment, or a case arising from allegation of the violation of the academic freedom of a non-tenured faculty member or administrator. The Committee conducts the hearing and reports its findings as described in the *Governing Regulations*.

Members of advisory committees, with the exception of the Committee on Privilege and Tenure, are appointed by the chairperson and co-chairperson of the Council. Membership of the Committee on Privilege and Tenure is appointed by the University President after consultation with the Council. As previously stated, advisory committee chairpersons are ex officio members of the Senate.

Senate Standing Committees. The Senate has two standing committees--Rules and Program Development--responsible for making studies and recommendation to the Council and the Senate. Members of standing committees are appointed by the chairperson of the Senate from elected Senators not serving on the Council. Each community college has at least one representative on each standing committee. The Senate chairperson may appoint two student members of the Senate to each standing committee. The University System Undergraduate Council representative to the Senate serves on the Program Development Committee.

The *Rules Committee* has responsibility to codify the *Rules of the Senate (Rules)*, recommend to the Council or to the Senate any modification of the *Rules*, and make continuous evaluation of the *Rules* to meet new conditions.

The *Rules* include the following areas: calendar, course number system and curriculum procedures, admission to a community college, attending a community college, external experience, student academic affairs, and printed schedule of classes and bulletins.

Proposed modifications to the *Rules* may be submitted to the Rules Committee for its consideration by the faculty from one of the colleges, a systemwide ad hoc committee, or the Chancellor's Office. Modifications may also be initiated by the Rules Committee itself. Modifications approved by the Rules Committee are submitted to the Council for review and approval/disapproval. Final approval authority regarding modification of the *Rules* is vested with the Council.

The *Program Development Committee* has the responsibility to make recommendations to the Council or to the Senate on new courses or course changes, new curricula and curricula changes, and needs of the instructional programs of the Community College System.

Figure A on Page 15 illustrates the curriculum development process for a proposal originating at a community college. If a new course or course change proposal involves a course for transfer credit, appropriate representatives of the community college faculty should consult with the appropriate department in the University System regarding the course. A college originated proposal is reviewed by the college program development committee, which makes recommendations to the college faculty. If approved by the college faculty, the proposal is submitted to the Community College System Program Development Committee.

For programs and courses with system-wide implications, the Chancellor for the Community College System may appoint an ad hoc committee to review and recommend appropriate revisions. This committee is normally comprised of representative faculty members from the affected colleges. The approval process for this process is shown in Figure B on Page 15. The ad hoc committee reviews the curricula and shares this information (through the committee members) with the faculty at the appropriate colleges. The final report is forwarded to the Chancellor. If accepted by the Chancellor, the report is

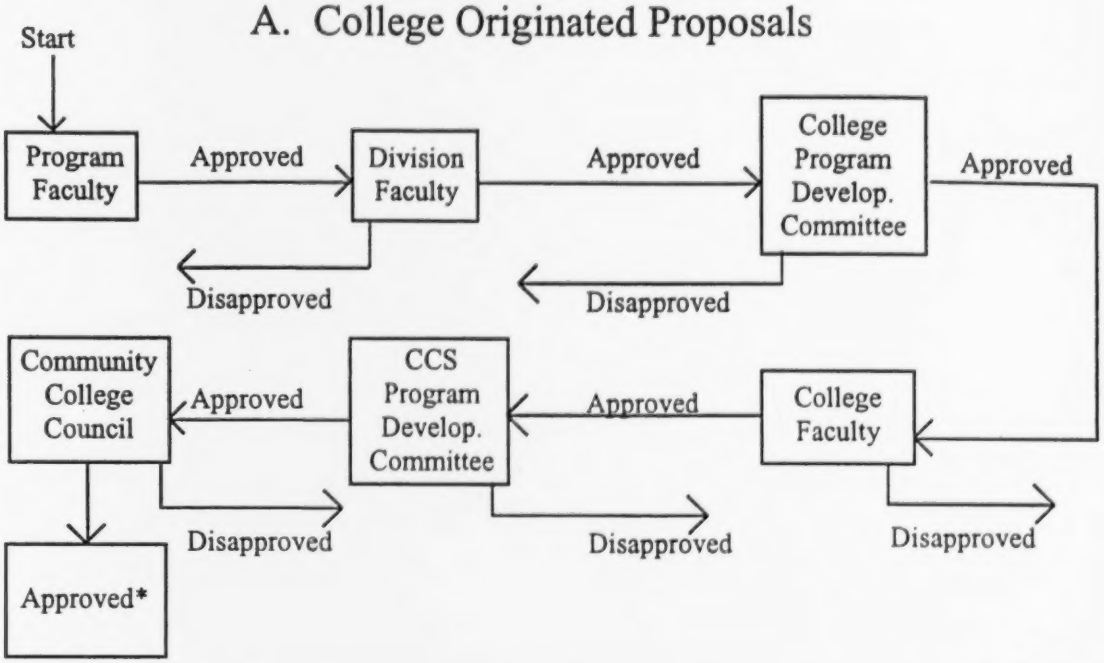
forwarded to the Community College System Program Development Committee. The Chancellor has the option to forward the report to one or more colleges for submission from the college as shown in Figure B on Page 15.

All curricula proposals approved by the Program Development Committee are forwarded to the Council for final review and approval/disapproval. Note that proposals may be disapproved, or sent back for additional work without action, at any level. On approval of new courses, the Council circulates to the faculty of the Community College System a report relative to the action regarding these courses. The action of the Council in regard to the courses will become final in ten days after circulation, if no objection is raised. If an objection is raised, the recommendation is debated at the next meeting of the Council, with subsequent action being final. The date for implementation of new or revised curricula/courses approved by the Council in November and February is the following summer term; for council approval in May and August, the implementation date is the following spring term.

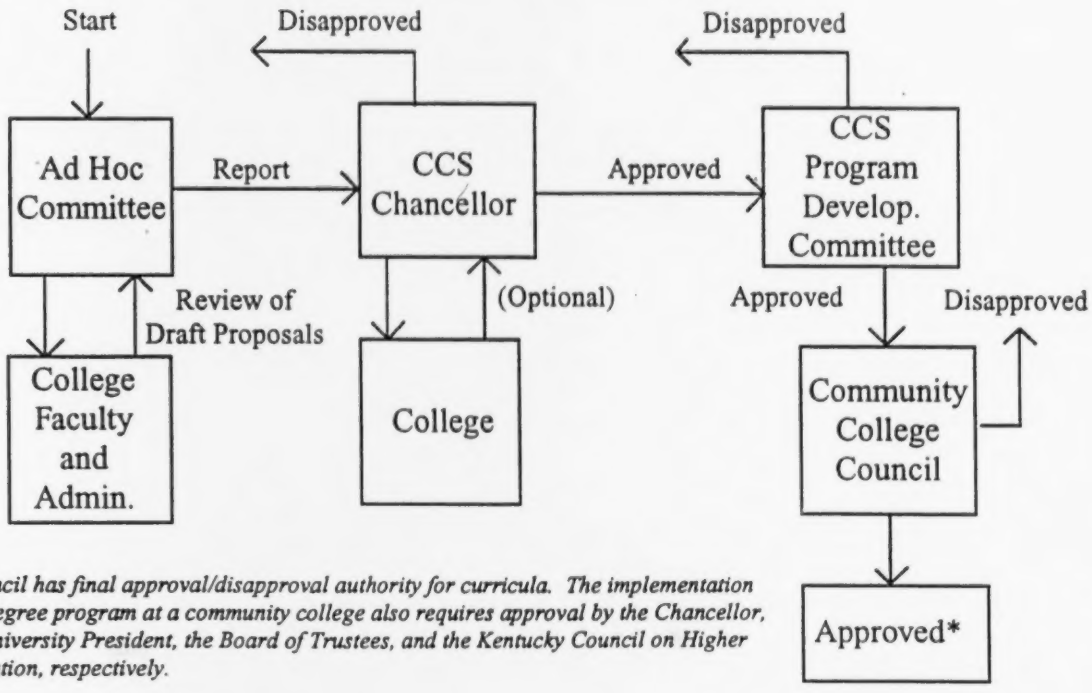
The approval of curricula by the Council initiates a change in the next edition of the *Community College System Bulletin*. The implementation of a new degree program at a community college also requires approval by the Chancellor, the University President, the Board of Trustees, and the Kentucky Council on Higher Education, respectively.

Curriculum Development/Approval Process

A. College Originated Proposals



B. Systemwide Proposals



**Council has final approval/disapproval authority for curricula. The implementation of a degree program at a community college also requires approval by the Chancellor, the University President, the Board of Trustees, and the Kentucky Council on Higher Education, respectively.*

sacs4ch1.pm4

University System Lower Division Courses. Periodically, the University of Kentucky Senate Council (executive committee for the University Senate) removes a University System lower division course from the list of approved courses. If the course removed is a required course in an Associate in Applied Science degree program in the Community College System, it is considered to be an approved Community College System course until the Community College Council meeting following the next regularly scheduled meeting of the Community College System Program Development Committee, or the effective date of the University Senate Council, whichever comes last. In the meantime, a community college requiring the course that has been removed by the University Senate Council (or a systemwide ad hoc curriculum committee) may prepare a proposal to submit to the Community College System Program Development Committee. If approved by that committee, the proposal is submitted to the Community College Council for approval/ disapproval. If the course removed by the University Senate Council is not a required course in any Associate in Applied Science degree program, it is dropped from the list of approved courses to be offered by the community colleges. Any college desiring to reinstate the course must submit a new course application to the Community College System Program Development Committee.

As specified in the *University Senate Rules*, one elected community college teaching faculty representative and one appointed Community College System representative serve on the University Undergraduate Council. Also, the *University Senate Rules* specify that a representative from the faculty of the CCS will be appointed by the University Senate Council upon the recommendation of the Community College Council to serve on the University Studies Program Committee. These individuals provide the community college perspective to the University Undergraduate Council and the University Studies Program Committee. The Community College System *Rules of the Senate* specify the procedures for the selection of community college faculty members to serve on both bodies.

III. The Role of the System Office in Assessing Institutional Effectiveness.

Overview. The University of Kentucky's central institutional effectiveness function is assigned to the UK Office of Institutional Planning, Budgeting and Effectiveness, but works in a distributed mode with the chancellor/vice presidential areas. The responsibilities of the chancellors' areas as specified in the *Administrative Regulations* include the following: to staff an institutional effectiveness function for institutional research and other institutional effectiveness efforts; to conduct program and unit reviews; to provide the University President with an annual progress report; and to work with and provide support to the Office of Institutional Planning, Budgeting and Effectiveness in developing the annual response to the legislative accountability bill (AR II-1.5-2).

The Community College System's institutional effectiveness program, a part of the university-wide effort, documents the extent to which System goals are met through a systematic, continuous planning and evaluation process. Likewise, the institutional effectiveness program at each of the community colleges documents the extent to which college goals are met through a systematic, continuous planning and evaluation process. The Community College System and each of the colleges are responsible for linking institutional effectiveness outcomes to the planning and budgeting process for the improvement of educational programs, services, and operations, and for optimal use of available resources.

A coordinator for institutional research in the Chancellor's Office works with both the Associate Director for Institutional Effectiveness in the UK Office of Institutional Planning, Budgeting and Effectiveness and the institutional research designees at the fourteen community colleges. The System's coordinator for institutional research oversees assessment activities on a systemwide basis, completes system-level research studies, performs general reporting functions to the University's central administration, state and national agencies, provides assistance to the colleges in the area of institutional research, and coordinates the System's response to the legislative accountability bill. The institutional research coordinator,

the University coordinator of program planning and development, and other members of the central administrative offices assist with the Systemwide program and unit reviews.

Components of the institutional effectiveness program within the Community College System are described briefly in the remainder of this section.

Strategic Planning. The University employs a systematic strategic planning process that establishes the broad framework for planning at all levels of the institution. Within this framework, the Community College System and each community college engage in a continuous planning process which involves the colleges' chief executive officers, faculty, staff, students, and advisory board/committees. This process sets forth System and college priorities to guide planning efforts, ties System-wide, college, and program-level goals and objectives to broad-based mission statements, and generates specific strategic indicators that are used to monitor progress within the System and each college.

The Community College System's strategic plan includes its mission and a brief description of the instructional and public service programs provided by the colleges. The System, as a part of the Commonwealth's only comprehensive land-grant University, supports the University's statewide mission through its 14 colleges and more than 100 extended campuses, sites, and centers. The System's strategic plan includes its strengths and weaknesses and an assessment of external environmental trends which influence the System at the present and in the future (e.g., demand for graduates). The System's goals and priorities in instruction, services, and administrative operations are delineated, along with strategic indicators for monitoring progress.

Annual Review. An Annual Review process, as set forth in the *Administrative Regulations*, provides the forum for evaluating progress in achieving goals, making adjustments to the strategic plan, and identifying objectives for the next year. Each of the community college presidents prepares for the Chancellor an annual report on the college's progress in meeting goals and objectives, along with priorities and goals for the next year. The Chancellor prepares an annual progress report for the University President. A variety of assessment activities are conducted at the colleges and within the System to support the Annual Review process.

Periodic Educational Unit Review. Through its *Administrative Regulations*, the University has established policies for a comprehensive periodic review of all units. The primary purpose of both the annual review and periodic review is to improve the quality and effectiveness of the units and their programs by systematically reviewing mission, goals, priorities, activities, and outcomes. The periodic review process for each of the colleges includes the preparation of a self-study report, evaluation by an external review team, and revision of the unit's strategic plan as based on recommendations resulting from the review process. For the community colleges, the periodic review occurs at least once in each five-year period and usually at the mid-point between reaffirmation of accreditation visits. The periodic review process specifically addresses the institutional effectiveness criterion of the Commission on Colleges, Southern Association of Colleges and Schools (SACS).

Accountability Report. The Community College System responds annually to the institutional performance measures in the Accountability Report mandated by KRS 164.095. The measures address the following areas:

- Student Access--enrollment; student credit hours; course demand analyses.
- Student Progress and Learning--remedial success rates; persistence rates; degrees awarded; licensure examination pass rates; semesters/credits to earn a degree; graduation rate; transfers.
- Client Perceptions--graduating students, alumni, parents, employers, non-student clients.
- Teaching--instructional contact hours; hours allocated to instruction.
- Programs accredited.
- Public Service--programs and services; Kentucky Education Reform Act support activities.
- Classroom utilization.

The process mandated by KRS 164.095 closely parallels the University and the Community College System's strategic planning efforts as well as the systematic, continuous planning and evaluation process required by the SACS institutional effectiveness criterion.

Assessment Activities. The Community College System and the colleges have developed and implemented a variety of data collection, analysis, and reporting functions to provide feedback useful in decision-making aimed toward improvements in educational policies, procedures, and programs. Assessment activities within the Community College System have evolved over the years in response to the System's commitment to quality programs and services as well as to the requirements of external agencies. Assessment activities currently underway in the Community College System to enhance the overall planning, evaluation, and budgeting process are identified in the remainder of this section.

Compendium of Selected Data and Characteristics. The annual *CCS Compendium of Selected Data and Characteristics* provides a comprehensive analysis of educational data, including enrollments, demographics, degrees awarded, revenues and expenditures, and library resources, for the System as well as the individual colleges. The Compendium is used to monitor progress in meeting strategic planning goals related to the open door policy and the transfer, technical, and the community education/service missions of the Community College System. Also, it is used to identify strengths and weaknesses in achieving strategic planning goals, target and develop plans for improvement, facilitate goal-setting, and establish strategic indicators by providing trend data for comparative analyses.

Surveys. The Community College System administers a well-established system of student, alumni, and employer surveys that provide information to support the review of academic programs. Students are first surveyed when they enter the community colleges. This survey identifies, among other things, short- and long-term goals, students' reasons for choosing a community college, self-perceived academic weaknesses, and demographic data. The exit survey provides the college with feedback regarding student satisfaction in the areas of academic preparation, student services, and future educational goals. This survey is

administered when students apply for graduation. The graduate follow-up survey is administered to alumni during the year immediately following graduation, and it provides information regarding employment status or continued education. If graduates identify their employers and grant permission, the employers are surveyed and asked to evaluate the education provided by the community college. The responses to each of these surveys are analyzed by academic program. The results are used for program improvement, planning and evaluation, and responding to accountability reporting requirements.

Student Evaluations of Instruction. Evaluations of instruction are completed by students enrolled in courses during the fall and spring semesters to provide information on students' perceptions of the quality of a specific course, the instructor's effectiveness, and general learning outcomes. The results are used by faculty to identify strengths and weaknesses and make plans for improvement. Results are also used in faculty performance review and promotion and tenure decisions.

General Education Evaluation. Each of the colleges has developed procedures to evaluate student attainment of general education competencies set forth in the curricula of all associate degree programs. The methods may include, but are not restricted to, completion of specific courses, feedback from graduates, employers, and transfer institutions, and periodic exit exams.

Program Reviews for AA, AS, and AAS Degree Programs. Comprehensive reviews of academic programs are conducted on a regular schedule as set forth by the *Administrative Regulations* and the Council on Higher Education. These reviews include information on five-year program goals, enrollments, attrition and retention, number of graduates, licensure pass rates (where applicable), employment and salary of graduates, employer ratings, and adequacy of resources. The results are used to monitor program quality and viability, identify strengths and weaknesses, and make recommendations for improvement. While these reviews

occur every five years, programs with fewer than 25 majors or fewer than ten graduates annually are reviewed more frequently.

Program Review for Continuing Education Program. A comprehensive review of each college's continuing education/community service program is conducted periodically. The review includes information on instruction, division continuing education plans/offerings, target groups, community needs surveys, enrollment trends, continuing education units awarded, documentation of student satisfaction with offerings, records management systems, and financial procedures.

Program Accreditation Reviews. These comprehensive reviews of program criteria are for the purpose of maintaining and improving the quality of academic programs through professional accreditation standards.

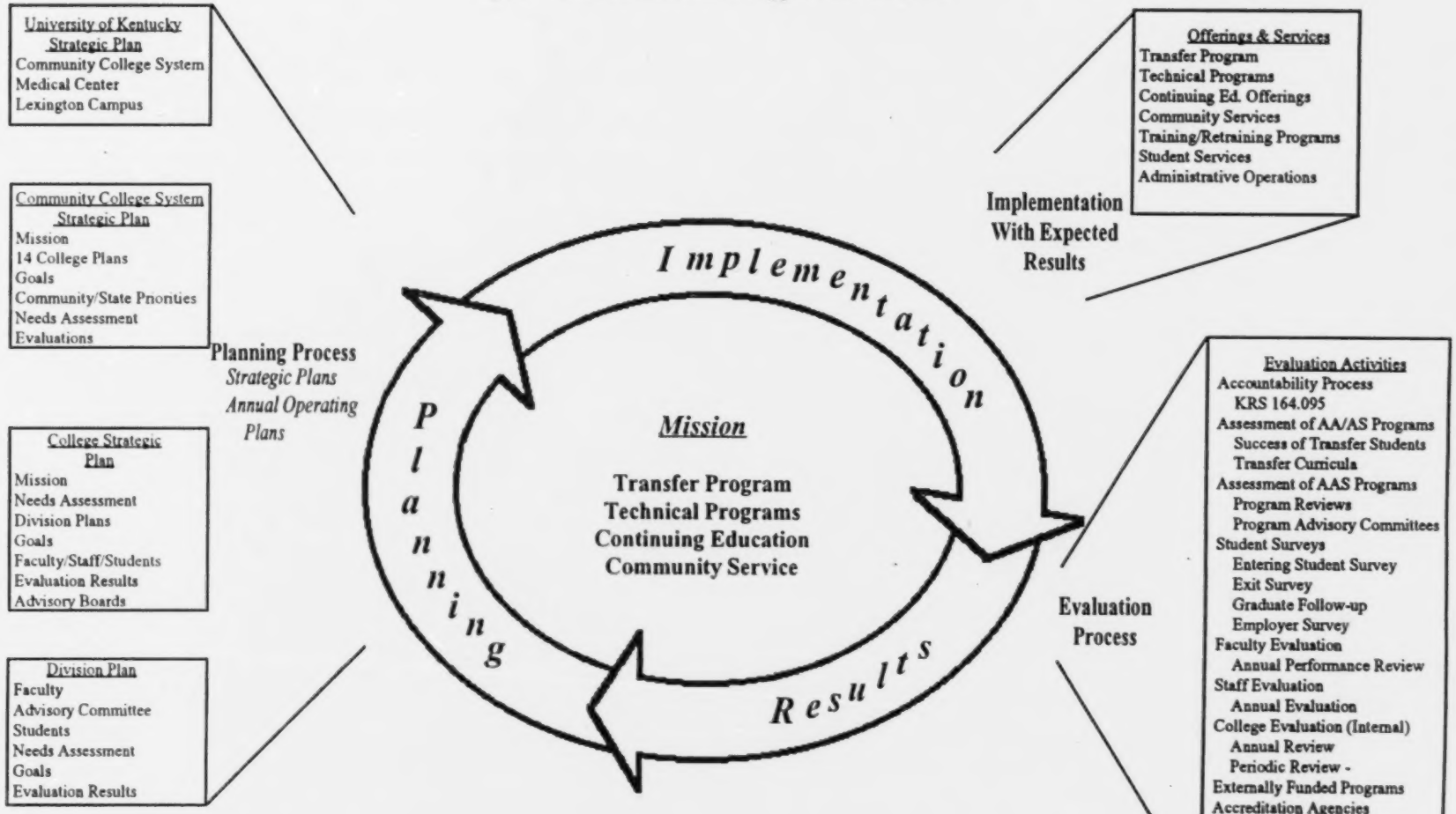
Transfer Assessment. The progress of students transferring to the UK University System is monitored as a way of assessing the effectiveness of the transfer program.

Special Projects. Special research projects are conducted on an "as needed" basis to answer specific questions that arise from ongoing planning and evaluation processes.

Summary. The systematic, continuous planning and evaluation process, displayed graphically on Page 23, enables the System and the colleges to continue to increase their effectiveness, to plan for future growth and expansion, and to insure maximum use of available resources. The process is the basis for both the annual operating and biennial budget request.

UK Community College System

Systematic, Continuous Planning and Evaluation Process for Institutional Effectiveness



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IV. Budget Process.

Biennial Budget Request Process. State funds are appropriated to Kentucky's public institutions of higher education on a biennial basis. The biennial budget process coincides with the constitutionally mandated meetings of the Kentucky General Assembly. Following guidelines prescribed by the Council on Higher Education (CHE), public institutions of higher education prepare a biennial budget request (KRS 164.020).

Within the University of Kentucky, the biennial budget development process is initiated several months prior to distribution of the CHE budget request guidelines. Based on discussions involving the University President and members of the staff and Cabinet, which includes the Chancellor for the Community College System, a set of guidelines and assumptions are developed and distributed to the University sectors for the update of the Sector strategic plans and the development of biennial budget requests. The updated strategic plans are the basis for preparing a biennial budget request.

Based on priorities expressed in the individual college budget requests and the statewide goals and objectives of the System, arrived at through discussions between the Chancellor and the community college presidents, a consolidated budget request is prepared by the Chancellor's staff for the System. The System budget request is submitted to the University President for review and approval, and subsequently to the Board of Trustees. The budget request is then submitted to the CHE in accordance with CHE guidelines. It should be noted that the Community College System's request is a separately identifiable portion of both the University of Kentucky and Council on Higher Education budget packages and related recommendations.

Budget Requests Submitted to Council on Higher Education. The budget request submitted by the University to the CHE includes several categories: (1) continuation needs, including statutory and contractual needs (debt service, staff benefits, utilities, and maintenance and operation for new facilities), and cost-of-living needs (e.g., salaries and wages, operating expenses, books and other capital outlay items); (2) program improvement

needs (e.g., faculty and staff position catch-up, computer/information technology support, and academic program and support program improvement needs); and (3) needs that involve expansions and requests for new program funding. The budget request also includes a component for items requested for funding outside the funding request formula. The amount of the request is determined by the funding request formula as computed at the 100 percent funding level, plus any items for which funding outside the formula is requested. A separate request for state funding and/or use of agency funds is included for capital items, which includes new facilities, major renovation and repair projects over $400,000, major equipment over $100,000, and other special capital needs that arise.

After the CHE reviews all budget requests from the individual public institutions of higher education, recommendations are submitted to the Governor's Office of Policy and Management and to the Legislative Research Commission by no later than November 15 of the fall preceding the regular session of the Kentucky General Assembly. At this time, the CHE approves a tuition schedule for the next year. The General Assembly then approves, disapproves, or modifies the Governor's budget recommendation. After the General Assembly votes on appropriations for higher education and the governor signs the appropriations bill, new funds appropriated for public higher education are allocated to the individual institutions on the basis of a Formula Use Policy.

Kentucky Appropriation Recommendation Formula and Formula Use Policy. An appropriation recommendation request formula, which recognizes the unique mission of each institution and combination of programs it offers, was used by the CHE and the institutions in the development of the 1994-96 biennial budget requests presented to the Governor and to the General Assembly. The formula is intended to quantify each institution's need for state support and to justify requests for new funds. The formula is comprised of subcomponents that quantify funding needs related to areas such as instruction (lower division, upper division, masters, doctoral, and professional), research, student financial aid, community service, preparatory education, community education, academic support, libraries, student services, institutional support, maintenance and operation of plant, extended campus centers, and debt

service. Funding rates included in the formula calculations are based on funding levels provided for similar program areas at benchmark institutions within the Southern Regional Education Board (SREB) states.

The Formula Use Policy computes allocations for the institutions in the following manner: (1) continuation of the base general fund appropriation; (2) additional funds sufficient to provide a common percentage increase, with the total utilized for this purpose not to exceed one-half of the available new dollars; and (3) distribution of all remaining funds according to a weighted allocation. The weighted allocation considers each institution's percentage of full funding under the formula.

Status of Funding Levels in Kentucky. Funding provided for public higher education in Kentucky has always been considerably less than the level of need generated by the formula. For example, public higher education was funded at 71.8 percent of the formula in 1993-94. Although the formula was intended to provide a rational measure of the financial need of individual institutions and a methodology for equitable allocation of general fund appropriations, funding provided for the University of Kentucky Community College System has consistently been below funding levels provided for other public institutions in Kentucky. For example, during 1993-94, the Community College System was funded at 61.8 percent of the formula, the lowest for any Kentucky public higher education institution, while one of the universities in Kentucky was funded as high as 77.2 percent of the formula.

Funding per FTE student for Kentucky's community colleges during 1992-93 ranked 15th among the states comprising the SREB.

Kentucky's Revised Higher Education Funding Model. The establishment and periodic review and revision of the formulas used in making appropriations for the institutions of higher education are included in the powers and duties of the Council on Higher Education (KRS 164.020). In November 1993, the CHE recommended to the Governor and General Assembly that Kentucky move to a performance-based funding system, beginning with the 1995-96 fiscal year. For that year, operating funding above the 1994-95 appropriated level would be distributed through a performance funding process.

This CHE recommendation regarding performance funding came during the same time period that the Governor's Higher Education Review Commission (HERC) was meeting. Higher education funding was among the 14 topics the Governor outlined for HERC to address. Specifically, the Governor charged HERC to develop a funding system that would be performance-based (HERC Report, 16). The Commission addressed funding for the 1994-96 biennium separately from the process of developing a revised funding model to be used for 1996-98 and subsequent biennia. The HERC Report includes performance funding measures and distribution methodologies for performance-based funding in 1995-96. The performance funding measures address the persistence of students, student outcomes, quality of instructional programs, quality of research/service programs, and campus management. The individual measures for these categories are formulated using baseline data as provided by the higher education accountability legislation (KRS 164.095, effective in fall 1992) and the Higher Education Equal Educational Opportunities Plan. Any goals established for distributing 1995-96 performance-based funds that are not addressed by the baseline data are to be developed cooperatively by CHE staff and the institutions' staff. No data are available for some of the measures, and thus the institutions will be required to show "evidence of progress."

Furthermore, the HERC Report recommended a set of principles to be used as the basis of the revised funding model to be developed during the 1994-95 interim for use in the 1996-98 and subsequent biennia (HERC Report 16-17). The principles are listed below:

- The revised higher education funding model will include performance-based funding aspects, and will adequately support a restructured system of higher education in Kentucky.

- The revised higher education funding model will recognize:

  - the existing governance structure for higher education;
  - the existing institutional management flexibility as established in KRS 164A.550-630;
  - the revised, refined mission statement for each institution;
  - the need for funding beyond the core level to be outcomes-driven (i.e., performance-based);

- the use of incentives to achieve desirable management goals (e.g., inter-institutional cooperation);
- increased use of institutional mission differentiation rather than extensive use of "core funding for common activities;"
- the need for a core level of funding support for each institution which shall ensure continuation of the prior year's funding base for each institution; and
- the need for base adjustments as necessary to meet new mandates and cost increases over which institutions have no control.

In March 1994, the Council on Higher Education approved the 1995-96 performance funding measures, as developed by HERC, for allocating all new state general funds for that fiscal year. The Council agreed that the approach developed for 1995-96 will be replaced by a more comprehensive funding model in 1996-98.

In summary, higher education has been funded in the past solely on the basis of input measures such as enrollment level. The performance funding in 1995-96 represents the initial step in the process of developing a performance-based funding model, with a completely revised model being used in 1996-98.

Annual Operating Budget/Planning Process. General fund support for the operation of the Community College System comes from two sources: (1) state appropriated funds, and (2) revenues generated within the System, e.g., student registration fees, parking fees, community education fees. New funds resulting each year from these two sources are allocated for new debt service needs, needs funded on a line-item basis by the legislature, fixed cost increases (benefits, utilities, and maintenance and operation for new buildings), continuation increases (general salary, current expense, capital, and scholarship increases), items of a high priority at the University level (enhancements in the employee benefits program), catch-up considerations (salary, positions, current expense), and other items requested by the colleges. Allocation guidelines and priorities are developed based on discussions between the University President and the University Cabinet, and between the Chancellor for the Community College System and the community college presidents.

Each community college develops an annual budget request to be submitted to the Chancellor based on priorities included in previously established plans and biennial budget

requests and on the basis of college needs and objectives as jointly determined by the college president, faculty, staff, and appropriate college advisory groups. Each college request is comprised of the following:

- Prioritized funding request for non-recurring capital funds for equipment and capital projects.
- Prioritized funding request for recurring funding for personnel, primary and support program needs--additions, expansions, improvements--operating expenses, and recurring capital needs--equipment and books.
- Enrollment projections.

Funds are allocated to the colleges based on college and System priorities. After the annual operating budget has been finalized, each of the community college presidents submits a list of annual objectives to the Chancellor.

V. Relationships With and Authority of Agencies External to the University of Kentucky Community College System.

Council on Higher Education. The Kentucky Council on Higher Education, composed of the chief state school officer, Commissioner of Education, and 17 lay members appointed by the governor, is the only state agency in Kentucky charged by statute to consider and promote higher education statewide. Generally, the Council on Higher Education develops criteria for the establishment and location of new community colleges, establishes the budget format for community colleges, recommends on the community college budgets, approves all capital construction projects which exceed $200,000, approves the offering of all associate degree programs, and determines tuition charged by the community colleges. Some of the specific powers and duties of the Council, as defined in KRS 164.020, are listed below.

1. Engage in analyses and research to determine the overall needs of higher education in the Commonwealth.

2. Develop and transmit to the Governor comprehensive plans for public higher education which meet the needs of the Commonwealth. The plans so developed shall conform to the respective functions and duties of the state universities, the community colleges, and the University of Kentucky as provided by statute.

3. Determine tuition and approve the minimum qualifications for admission to the public institutions of higher education.

4. Consider the requirements and review the budget requests, which shall be prepared in the manner and submitted by the institutions to the council by dates prescribed by the council. . . . The council, in cooperation with the University Presidents, shall devise, establish, and periodically review and revise formulas for use in making recommendations to the Governor and the legislature for use in making appropriations for the institutions of higher learning. The formulas shall provide for adequate and equitable allocation of funds among the several universities considering their respective needs and statutory, institutional, and geographic missions.... The individual institutions' budget requests, including tuition and registration fee schedules for all categories of students, along with council recommendations shall be submitted to the Governor through the Finance and Administration Cabinet not later than November 15 of each odd-numbered

year. The council shall submit a separate budgetary recommendation for the University of Kentucky Community College system.

5. Review and approve all capital construction projects, the cost of which exceeds two hundred thousand dollars ($200,000), approved by the governing boards of the state-supported institutions of higher education prior to the institutions' submission of such projects to the Finance and Administration Cabinet and/or State Property and Buildings Commission.

6. Require reports from the executive officer of each institution it deems necessary for the effectual performance of its duties.

7. Publish annually a report of the educational and financial affairs of the institutions and disseminate other information relating to higher education.

8. Define and approve the offering of all higher education associate, baccalaureate, graduate, and professional degree or certificate programs in the state-supported higher education institutions; review proposals and make recommendations to the Governor regarding the establishment of new state-supported community colleges and new four-year colleges. The Council on Higher Education shall postpone the approval of any new program at a state institution of higher learning, unless the institution has met its equal educational opportunity goals, as established by the council. In accordance with administrative regulations promulgated by the council, those institutions not meeting the goals shall be able to obtain a temporary waiver, if the institution has made substantial progress toward meeting its equal educational opportunity goals.

The Council on Higher Education was given the responsibility for developing a plan for implementing the higher education accountability process as legislated by the Kentucky General Assembly in 1992 (KRS 164.095). This signaled the beginning of a systematic accounting and reporting of public higher education effectiveness. The Council now submits to the Governor and the Legislative Research Commission an annual accountability report which addresses 14 performance standards.

KRS 164.030 mandates that the Council's regulations are to be followed by state educational institutions. Thus, changes in the curricula, rules, and regulations affecting the community colleges would be made by the Board of Trustees of the University of Kentucky unless delegated by the Board to the Chancellor, the Community College Senate, or the individual colleges.

Other Public Higher Education Institutions in the State. In addition to the University of Kentucky with its two systems (University System and Community College System), other state-supported institutions of higher education include six regional universities, and the University of Louisville. The 14 community colleges work in partnership with all of these institutions in an effort to provide a system of educational opportunities that interface with one another. The community college partnership roles vary among the regions they serve as needs differ throughout the state. The significant roles of the community colleges in higher education in Kentucky include the following:

- Provide open access to higher education for all citizens.
- Provide lifelong learning opportunities through continuing education.
- Provide collegiate-level technical courses and training needed in the workforce.
- Provide linkages between the associate degree programs and the baccalaureate level programs at the senior institutions. Examples include:
    - Articulation and transfer agreements.
    - Two + two programs.
    - Facilities for the offering of upper level classes on the community college campus.
    - Faculty interaction for curriculum development, advising workshops, and tracking transfer student progress.

The community colleges and the senior institutions concentrate on their mandated missions and complement one another. For example, a primary reason selective admissions works so well at public senior institutions is that community colleges provide open access. Thus, students may access a selective-admission senior institution by successfully beginning their college careers at community colleges.

Kentucky Cabinet for Workforce Development. Legislation enacted by the 1990 General Assembly reorganized and restructured postsecondary vocational education components and departments. These units, formerly housed in the Kentucky Education and Humanities Cabinet, are now a part of the Kentucky Cabinet for Workforce Development. Additional legislation passed by the 1994 General Assembly mandated some reorganization of

departments within the Cabinet for Workforce Development, and the major organizational units are now the following:

- Department for Adult Education and Literacy.
- Department for Technical Education.
- State Board for Adult and Technical Education.
- Governor's Council on Vocational Education.
- Kentucky Occupational Information Coordinating Committee.
- Department of Vocational Rehabilitation.
- Department for the Blind.
- GED Foundation.
- Kentucky Job Training Coordinating Council.
- Office of Development and Industry Relations.
- Office for Workforce Analysis and Research.
- Office of Training and Reemployment (JTPA).
- Office of Administration and Policy Support.
- Office of General Counsel.
- Office of Communication Service.
- Office of School-to-Work.
- State Board for Proprietary Education.

All responsibilities for programs, staff, and operations at state-operated area vocational education centers and vocational technical schools are assigned to the Department for Technical Education (Cabinet for Workforce Development). The Department for Technical Education has the responsibility for all administrative functions in relation to the management, control, and operation of non-degree (diploma and certificate) programs in postsecondary and vocational-technical education. This department exercises general powers and functions relating to a Kentucky technical system of state vocational technical schools, area vocational education centers, and technology centers. The Department for Technical Education is responsible for developing and approving state plans required by state or federal laws as prerequisites to receiving federal funds for vocational-technical or technology education. The

department involves representatives from all eligible recipient categories in the development of such plans.

The State Board for Adult and Technical Education has the responsibility for the management and control of state-operated vocational schools, and all programs and services operated in those schools and centers. It is also responsible for adult education and literacy programs and services. It is responsible for establishing priorities for and approval of construction of facilities for vocational-occupational programs.

In conjunction with the Council on Higher Education, the State Board prepares a complete listing of programs of a vocational-technical-occupational nature offered in public institutions of higher education and the community colleges, state vocational-technical schools, and junior and senior high schools. The State Board has the authority and responsibility to review and make recommendations to the Council on Higher Education concerning new and existing programs at the associate degree level, if the programs are of a vocational-technical-occupational nature. The State Board cannot operate or administer any programs for associate, baccalaureate, or graduate degrees; but it can pursue, when feasible, joint programming and articulation of vocational-technical education programs with associate degree programs. Likewise, no public institution of higher education, including the community colleges, can offer any new program of a vocational-technical-occupational nature (except those requiring licensure, e.g., nursing) below the associate degree level without the consent of the State Board.

In order to avoid duplication of effort, the Community College System and the Department for Technical Education in the Cabinet for Workforce Development work together in planning and coordinating vocational-technical-occupational programs.

There are real similarities and significant differences in the programs of the Community College System and the programs of the Department for Technical Education. The similarities include the common goals to provide (1) low cost educational opportunities, (2) in technical fields, (3) designed to provide the skills necessary for employment and successful job performance. Common areas include health, business, and engineering-related programs.

There are also significant differences between the two systems. The first difference is in the level of the technical courses and general studies (written and oral communication,

mathematics, science, social interaction and heritage/humanities) available at the community colleges. Many of the technical courses require a high level of mathematics and science. The collegiate level of the technical courses and general studies (as required for accreditation by the Commission on Colleges of the Southern Association of Colleges and Schools) offered by the community colleges is beyond the scope of the charge of postsecondary vocational education. Also, the criteria for the scholarly and professional preparation of faculty members are more rigorous.

The second difference is the college transfer possibilities offered by the community colleges. Again, community college programming addresses a function outside the charge of postsecondary vocational education. Thus, a distinctive feature of community college offerings is the linkage between the associate degree technical programs and more complex technological programs at the university level. This linkage and the linkage that is provided between the associate degree transfer program and the baccalaureate level professional programs are a part of the state's "total education continuum."

A third difference lies in the fact that community college associate in applied science degree requirements include college-level general studies courses. These college-level courses add a dimension of liberal education to a student's technical program which serves to broaden the scope of the educational experience. The importance of this component will only increase as the new jobs of the future will require more math, language, and reasoning skills. General studies also provide a basis for lifelong learning which will continue to be a necessity in view of the rapid technological changes in the workforce. The overall result is that community college students usually have different qualifications and aspirations than those in other postsecondary vocational settings. Community college programs reflects these differences.

A fourth difference is that, in general, postsecondary vocational programs and the community college associate degree programs prepare students for entry into a given occupation at different levels. For example, the community college nursing program prepares graduates to give care to patients as registered nurses whereas the vocational-technical program prepares graduates to give care as licensed practical nurses. There are a few exceptions to this among the programs of both Systems.

The Community College System and the Kentucky Tech System in the Department of Technical Education have numerous partnership arrangements between the two Systems, as well as with other institutions, organizations, and agencies. The nine articulation and transfer agreements in place between the two Systems enable a postsecondary vocational school student who meets the requirements for admission to a community college program to enroll in one of the community colleges offering the program. Through these agreements, duplication of coursework is avoided, and college credit is awarded for courses that are comparable in content and competencies which the student has completed successfully at the Kentucky Tech School. The nine approved articulation agreements include the areas of business and computer technology, dental hygiene, engineering technology, medical laboratory technician - certificate (AS), nursing, radiography, respiratory care, biomedical equipment technician, and mining technology.

In addition to the formal articulation agreements which involve credit courses, some of the community colleges and Kentucky Tech schools have other types of partnerships. These include sharing facilities and personnel, offering joint programs, and providing industrial training on a joint basis. The community colleges are also involved with Kentucky Tech in developing tech prep agreements. The joint programs currently available are Automotive Technology (Louisville); Biomedical•Equipment Technician (Madisonville); Radiography (Madisonville and Cumberland); Respiratory Care (Madisonville and Cumberland); Business Technology-Food Service Management (Paducah); Physical Therapist Assistant (Paducah); and Engineering Technology--Computer Repair (Cumberland). Shared facilities include the Allied Health Science Building in Paducah, the Bell County Campus in Middlesboro (currently under construction), and the proposed Regional Technology Center in Hopkinsville (currently awaiting funding).

As students move from one system of education to another, the question of what credits earned in one system will transfer to another becomes quite important. It is also important that the state's resources not be consumed by requiring students to repeat course work unnecessarily. Joint efforts by both systems can reduce the inappropriate loss of credit when transferring to a community college.

In addition to working closely with the Department for Technical Education, the Community College System works with other components of the Cabinet for Workforce Development. An example is the Kentucky Occupational Information Coordinating Committee (KOICC). This committee coordinates the development, gathering, analysis, dissemination, and application of occupational labor market, educational training, and career information. This information is used for the purpose of planning and administering occupational, career, employment training, and economic development efforts.

The Chancellor of the Community College System serves on the Kentucky Occupational Information Coordinating Committee. Committee membership also includes the Secretary of the Cabinet for Workforce Development, Commissioner of the Department for Employment Services (Cabinet for Human Resources), Secretary of the Cabinet for Economic Development, Executive Director of the Bluegrass State Skills Corporation, and the Executive Director of the Governor's Council on Vocational Education. Others include the commissioners of the departments of Vocational Rehabilitation, Technical Education, and Adult Education and Literacy, and representatives from the Kentucky Council on Higher Education, the Kentucky Chamber of Commerce, and the private sector.

Other External Agencies. The Community College System has working relationships with many other agencies; however, no formal authority relationships and no formal agreements exist. An example is the Kentucky Higher Education Assistance Authority which has an administrative agreement with each community college for the purpose of administering state financial aid programs.

VI. Delegation of Authority and Relationships Between the System Office and the 14 Institutions.

The University of Kentucky is the nation's most comprehensive institution of higher education in that it combines the land grant mission, world class research, and the Medical Center with the statewide scope and local focus of the fourteen open-access institutions of the Community College System. Since 1964, the Community College System has operated as one of the two systems governed by the UK Board of Trustees.

Delegation of Authority. The tiers of administrative line authority under the Board of Trustees include the University President, the Chancellor for the Community College System, the presidents of the community colleges, the community college deans, and the community college division chairpersons.

The University President is appointed by and reports to the Board of Trustees--see organizational chart on Page 41. The President is the chief executive officer of the University, including the Community College System, and has full authority and responsibility over the administration of the academic, business, and fiscal operations of the University (*Governing Regulations* III-1, 1992).

The Chancellor for the Community College System is appointed by the Board of Trustees, acting upon recommendation of the President, and reports to the President. The Chancellor, as principal academic and administrative officer, is responsible for the administration of the academic, business, and fiscal operations of the System. Also, the Chancellor serves as Chairperson of the Community College Senate, Co-Chairperson of the Community College Council, and as an ex officio member of all community college faculties and systemwide committees.

Two Vice Chancellors in the Community College System report directly to the Chancellor. The Vice Chancellor for Academic and Student Affairs is responsible for the supervision, general direction, and coordination of academic and student affairs and is the

deputy administrator in charge in the absence of the Chancellor. The Vice Chancellor for Business Affairs is responsible for the supervision, general direction, and coordination of business, finance, and budget matters of the System. All central administration staff members, with the exception of the assistant to the Chancellor, report to one of the two Vice Chancellors.

From the Chancellor of the Community College System, the line of authority passes to the presidents of the community colleges who serve as chief executive officers of the colleges -- see chart on Page 42. The community college president, along with the faculty, is responsible for the development and implementation of the instructional program of the college. The president is responsible for the curricula, quality of instruction, assignment of duties, and for the service provided by the faculty of the college. The president is also responsible for the business and financial operation of the college and the maintenance and operation of the physical plant. Additionally, it is the responsibility of the president to relate the college program to the community through relationships with community groups and individuals. The local advisory boards, established by statute, are instrumental in assisting the colleges with relating programs to the local communities. A sample organizational chart for a community college appears on Page 43.

The organizational pattern at the college level, in addition to the president, includes a dean for academic affairs, a dean for business affairs, and a dean for student affairs. Generally, the dean for academic affairs assists the president in the administration of the academic program of the college and provides supervision, guidance, and assistance to the faculty, librarians, and counselors. Also, the dean for academic affairs is in charge of the college in the absence of the community college presidents. The dean for business affairs assists the president in the administration of business, finance, and budget matters of the college. The dean for student affairs assists the president with the supervision and coordination of activities in the area of student services, including the student records data base, admissions, registration, orientation, and financial aid. The deans' positions are not included in the *Governing Regulations*; and thus, the duties and responsibilities may vary at the colleges.

The division chairperson is responsible to the president or the president's designee--the dean for academic affairs--and serves as chairperson of the division faculty. As an intermediary between the administration and division faculty, the chairperson has a major administrative and academic role in the System; and the duties and responsibilities of the position are described in the *Governing Regulations*. The chairperson has administrative responsibility for implementing the division's program within the limits established by regulations of the University, the policies of the Community College System Senate, and the rules of the community college. In connection with the major administrative functions, the chairperson seeks the advice of division members. The division chairperson is appointed for a three-year term, and normally can serve for no more than three consecutive terms.

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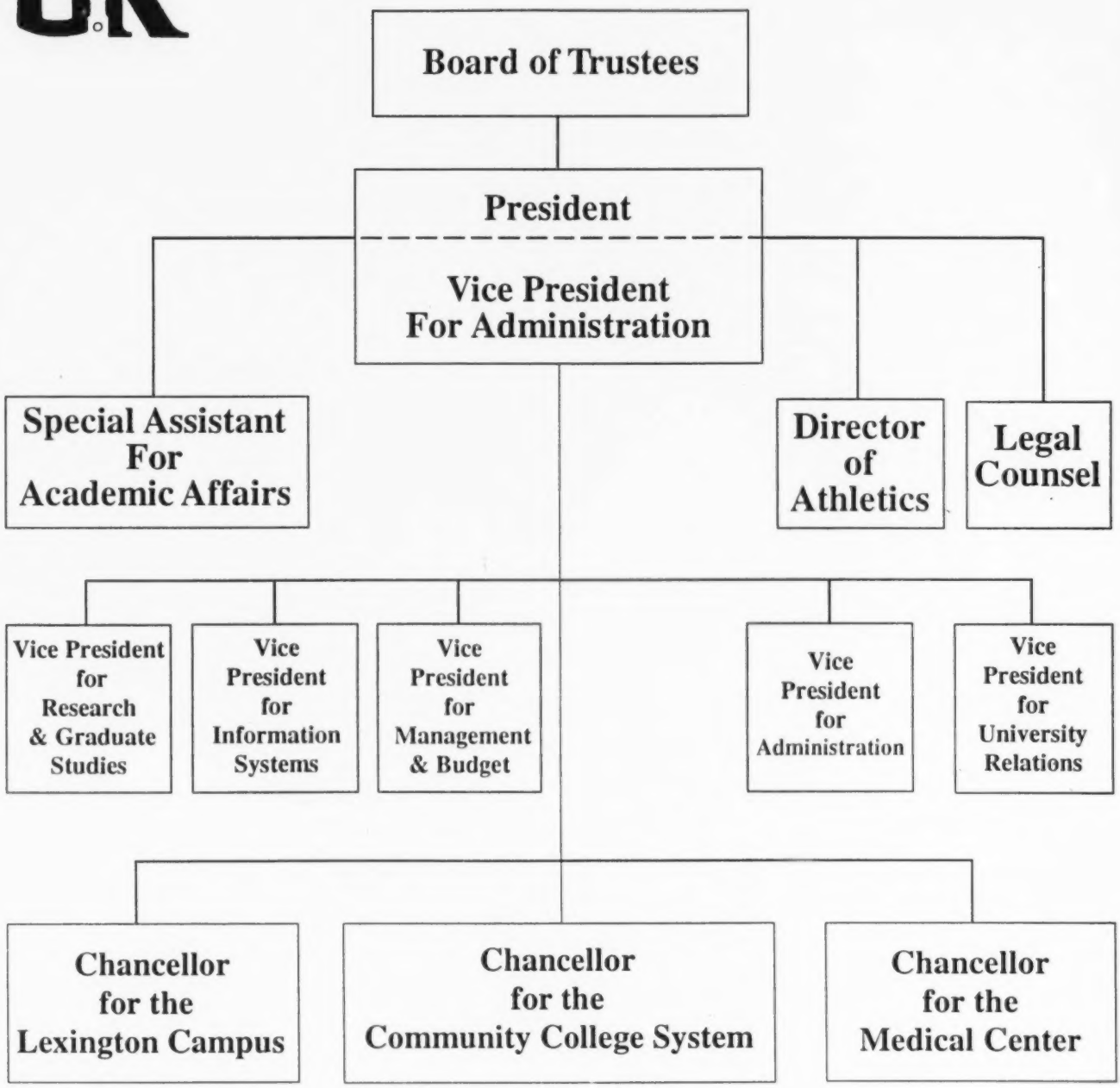
Board of Trustees
President
Vice President For Administration
Special Assistant For Academic Affairs
Director of Athletics
Legal Counsel
Vice President for Research & Graduate Studies
Vice President for Information Systems
Vice President for Management & Budget
Vice President for Administration
Vice President for University Relations
Chancellor for the Lexington Campus
Chancellor for the Community College System
Chancellor for the Medical Center

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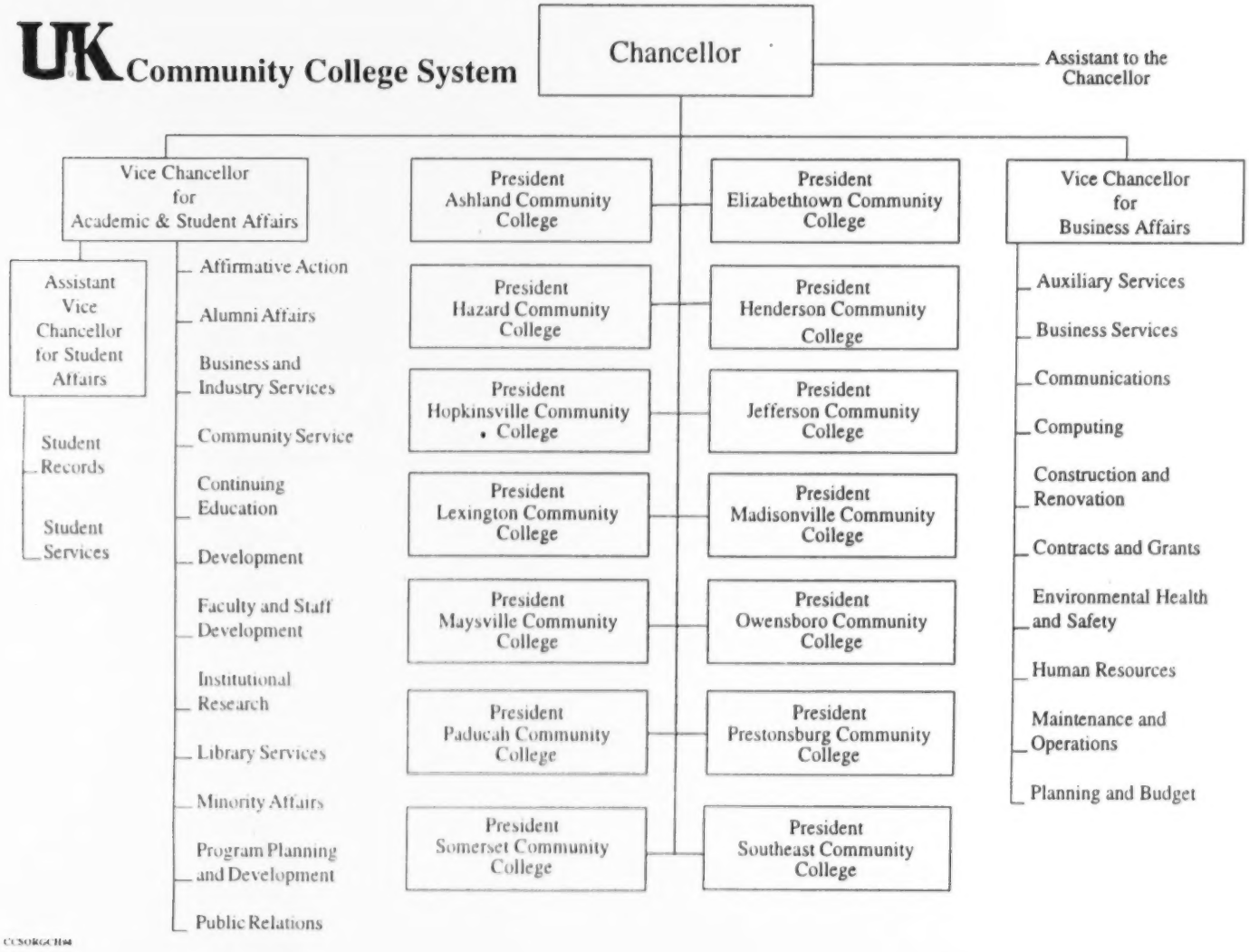
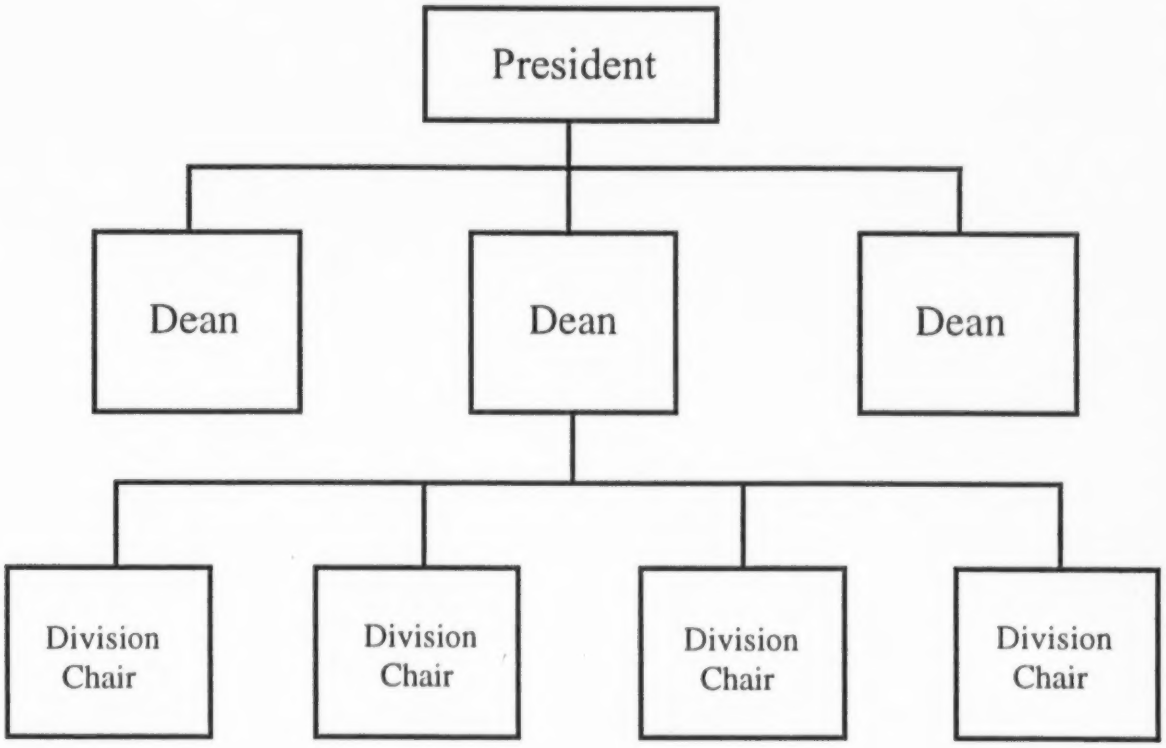

UK Community College System
Chancellor
Assistant to the Chancellor
Vice Chancellor for Academic & Student Affairs
Assistant Vice Chancellor for Student Affairs
Student Records
Student Services
Affirmative Action
Alumni Affairs
Business and Industry Services
Community Service
Continuing Education
Development
Faculty and Staff Development
Institutional Research
Library Services
Minority Affairs
Program Planning and Development
Public Relations
President Ashland Community College
President Hazard Community College
President Hopkinsville Community College
President Lexington Community College
President Maysville Community College
President Paducah Community College
President Somerset Community College
President Elizabethtown Community College
President Henderson Community College
President Jefferson Community College
President Madisonville Community College
President Owensboro Community College
President Prestonsburg Community College
President Southeast Community College
Vice Chancellor for Business Affairs
Auxiliary Services
Business Services
Communications
Computing
Construction and Renovation
Contracts and Grants
Environmental Health and Safety
Human Resources
Maintenance and Operations
Planning and Budget

University of Kentucky Community College System Sample Organization Chart for a Community College



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Relationships Between the System Office and the Colleges. In addition to the Chancellor and two Vice Chancellors, the System office includes 24 professional staff members who provide central administrative services, support, assistance, and coordination for the colleges. The staff members administer systemwide projects, and serve as liaison with federal and state agencies, professional organizations, other University offices, and businesses and industries. Coordination of central staff activities is facilitated through weekly staff meetings, and strategic planning conducted at two semi-annual retreats.

Through the existing organizational structure of the Community College System, the community colleges are integral parts of the University and at the same time have autonomy and freedom to relate programs to the local communities.

VII. Systemwide Groups--Their Organization and Function.

Faculty. As a total body of the Community College System, the faculty are represented by the Senate of the Community College System (Senate). The organization and function of the Senate are included in Section II, Development and Approval of Academic Policy and Practice. The components of the Senate include the Community College Council, the Senate Advisory Committees, and the Senate Standing Committees.

Students. The Inter-Community College Student Advisory Council consists of the presidents of the local student councils. Members of this organization serve in an advisory capacity to the Chancellor for the Community College System. The Advisory Council also provides student government presidents from the various community colleges the opportunity to exchange ideas on topics of mutual concern.

Alumni Association. Privileges of the University of Kentucky Alumni Association are extended to graduates of community colleges and former students with 12 or more credit hours.

Statewide Citizen's Network. Representatives from each of the local community college advisory boards and the 14 community college presidents comprise the Statewide Citizen's Network. This network promotes a better understanding of the role of community colleges, identifies statewide needs that colleges can address, and serves as an advocate for the colleges. Additionally, the Chancellor for the Community College System may request that the citizens' group meet with the University President or the state's executive and legislative policymakers to discuss issues of statewide concern.

Other Systemwide Groups. Other systemwide groups meet periodically to discuss community college issues of statewide concern. Although these groups are not formally

organized, the members' functions are similar at their respective community colleges. An example is the "new faculty orientation" conference held annually in the fall. Other groups include the college presidents, deans of academic affairs, deans of business affairs, deans of student affairs, continuing education/community service coordinators, business/industry liaisons, health related program coordinators, institutional research coordinators, division chairpersons, and coordinators of resource development. The college presidents meet seven times during the year, while the other groups meet less frequently.

Systemwide academic discipline meetings are also held periodically. These meetings are for the purpose of promoting the exchange of ideas, practices, and concerns about teaching among community college faculty and between community college faculty and University System faculty.

VIII. An Appraisal of the Effectiveness of the System in Meeting Its Goals.

Community College Students. The Community College System fulfills a vital role in the Commonwealth by providing access to higher education for both traditional and non-traditional students. Data on students entering the community colleges in fall 1992 show a freshman class which is 67 percent female, 28 percent age 25 and older, 53 percent first generation college students, and 46 percent economically disadvantaged. Only 36 percent of the fall 1992 freshmen indicated that their goal was to obtain an associate degree, and only half of those students felt they would earn their degree within two years. Over half (56%) attend college only part-time. Fully 11 percent of the System's students come to take classes for personal enrichment or to improve job skills. Among students who wish to eventually transfer to a baccalaureate institution, only half plan to earn an associate degree prior to transfer. Thus, while the typical college student is usually assumed to be an 18-year old high school graduate who attends college full-time each semester until earning a degree, the typical community college student is over the age of 25, attends classes part-time, works and/or maintains a family, and anticipates spending several semesters at the community college, but may not intend to earn an associate degree. More than any other state-supported institution of higher education, the Community College System open-door admission policy and comparatively low tuition attract students from diverse backgrounds, including honors students, underprepared high school graduates, GED recipients, and returning adult learners.

Enrollment. Thirty years after the creation of the System, the 14 community colleges enroll more than one-third of all undergraduate students in the state's public institutions of higher education--48,370 credit students during fall 1993. This represents a modest 0.7 percent increase in enrollment over fall 1992, a sharp contrast to the growth experienced during the last decade--101 percent from fall 1983 to fall 1993. Clearly, enrollment increases are being hindered by budget reductions and tuition increases.

The fall 1993 African American enrollment of 3,356 represents a 4.7 increase over the previous fall's enrollment, and a 19.8 percent increase over the fall 1991 enrollment. The African American enrollment represents 6.9 percent of the total enrollment in fall 1993, compared to 6.7 percent in fall 1992. In fall 1993, six of the community colleges had African American student enrollments representative of the percentage of their service areas.

Pre-college Curriculum. Since fall 1992, all degree-seeking students under 25 years of age enrolling in a community college are subject to the precollege curriculum requirements. Degree-seeking students are assessed as to their precollege curriculum status upon admission, and they must follow college procedures for removing any precollege curriculum deficiencies. The colleges emphasize both support programs intended to attract quality students and support programs for traditionally underserved or unserved students. Some of the colleges have experienced an increase in grant funding for support to disadvantaged populations.

Graduates. During 1992-93, the total number of community college graduates was 3,597, a 13 percent increase over the previous year. Nursing graduates continue to excel on the Nursing Licensure Examination--the Kentucky Board of Nursing reported that the pass rate for nursing graduates on the 1993 examination was 93.5 percent. This is among the highest in the nation. Of the graduates who responded to the most recent follow-up surveys, the vast majority who transferred to four-year institutions rated the academic preparation they received at the community colleges as excellent or good. Also, the majority of those students graduating from career programs rated preparation for employment at the community colleges as excellent or good.

Transfer Students. The number of students transferring from the community colleges to the regional universities declined by 6.1 percent from fall 1992 to fall 1993. However, the number of students transferring from the community colleges to the University System increased by 7.8 percent during the same time period. Additionally, the progress of community college transfers appears, at a minimum, to parallel the native University System

students. This is based on the monitoring of the progress of community college students who transfer to the University System with 60 or more credit hours. (UK Strategic Plan Progress Report, 8).

Continuing Education/Community Service. In addition to the 48,000 plus credit students, the Community College System served approximately 400,000 citizens through continuing education and community service activities during 1993-94. These activities include personal and community development offerings, occupational and professional development offerings, job-specific training activities for business and industry, and Kentucky Education Reform support activities. The colleges are also involved in numerous community service projects, partnerships, and small business development activities that assist with the state's economic development program.

Teaching Excellence. Excellent teaching continues to be the guiding principle at the community colleges. Teaching excellence is supported through summer teaching improvement fellowships, minigrants, sabbaticals, systemwide faculty development workshops and the Teaching Consultation Program, a consulting service to faculty who wish to analyze their teaching and implement changes. The colleges continue to recruit high quality faculty, and annually several community college faculty members receive recognition as "great teachers" from the University of Kentucky Alumni Association.

New Programs. New programs implemented in fall 1993 include Engineering Technology at Ashland and Madisonville Community Colleges; Quality Technology at Elizabethtown Community College; Radiography and Respiratory Care programs at Southeast Community College.

Information Systems. The Community College System has invested much effort and expenditure in improving communications, enhancing administrative computing capability, and upgrading student computer laboratory facilities. For example, upgraded

telecommunications lines, T1 or equivalent lines are now installed at eight of the colleges, and numerous colleges have added student computer laboratories. Additionally, a new Human Resource System has been implemented at all of the colleges. While these are all important accomplishments, the larger problem of electronic access to the University, the other community colleges, and the rest of the academic community is being addressed through the System's new Technology Strategic Plan adopted in spring 1994. The Plan includes a strategic foundation model, specific college plans, and a strategy for restructuring academic computing.

Leadership Academy. The System continues to provide leadership development activities annually for twenty faculty and staff members through the System's Leadership Academy. The Academy is intended to develop leaders for the System from the ranks of faculty and staff and to increase the number of women and minorities in leadership roles at all levels. The fourth Academy is now in progress. The short term evaluations from all Academy participants and community college presidents continue to be excellent. Several Academy graduates have moved into new leadership roles at their campuses, including the roles of academic dean, student affairs dean, and division chairperson.

Partners in Progress. As of April 1994, ten of the System's 14 colleges have implemented major gifts campaigns, under the common theme of "partners in progress." The amount raised to date in the campaign is approximately $10 million. Money raised from the campaign will go to support individual academic programs, scholarships and new construction at the colleges. The four remaining colleges will join the "partners in progress" campaign by early fall 1994. Additionally, awards to the System for sponsored grants and contracts totaled $9.8 million during 1992-93 fiscal year, a 6.6 percent increase over the 1991-92 fiscal year.

New Facilities. Jefferson Community College's new Carrollton Campus was formally dedicated in January 1994. Three new campus buildings were dedicated during 1993-94--an academic technical building at Lexington Community College and a fine arts center and academic technical building at Henderson Community College. The opening of the

Appalachian Center at Southeast Community College has led to a community partnership with the development of the Kentucky Coal Mining Museum.

Conclusion. While the Community College System's accomplishments delineated above and its progress toward the achievement of its strategic goals are commendable, the decline in state appropriations continues to impede progress. The System was funded at only 67.3 percent of the Council on Higher Education's funding formula for 1992-93 and only 61.8 percent for 1993-94. Chronic underfunding remains the greatest challenge for the Community College System as it strives to serve all who respond to its open-door policy.

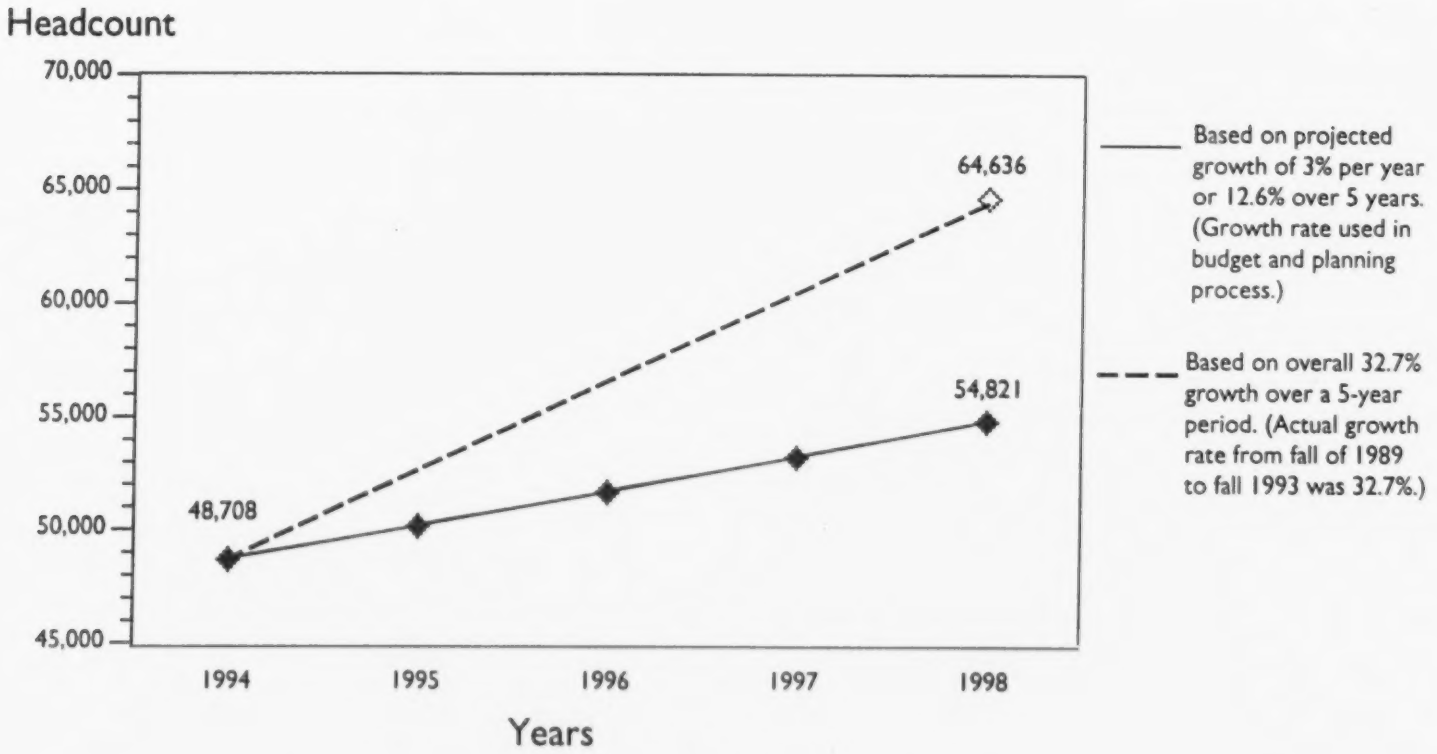
IX. Forecast of Enrollment, Major Programmatic, and Capital Trends for the System.

Enrollment. Headcount enrollment projections for the fall semesters of 1994 through 1998 are included in the chart on Page 53. Based on an actual 0.7 percent increase from fall 1992 to fall 1993 (a modest increase compared to previous years and a result of tuition increases and budget reductions), the projected fall 1994 enrollment will be 48,708, the beginning point used on the chart. The solid projection line on the chart is then based on a growth rate of 3 percent per year, a conservative growth rate used in the planning and budget process. Over the period from fall 1994 to fall 1998, this results in a 12.6 percent overall growth--with a headcount enrollment of 54,821 students in the fall of 1998. The broken line projects an overall 32.7 percent growth over the period and is based on the average growth rate experienced from fall 1989 to fall 1993. If another 32.7 percent increase is experienced over the next five years, the headcount enrollment will be 64,636 in fall 1998.

Community college enrollments in Kentucky are expected to continue to increase as recent high school graduates attempt to acquire education close to home and an increasing number of non-traditional students attend the community colleges to meet personal educational goals. Additionally, increased numbers of adults continue to upgrade their occupational and career skills.

One of the System's goals in its strategic plan is to "maximize access to higher education and increase the college participation rate of Kentuckians." As access is expanded throughout Kentucky and geographical barriers are removed through distance learning and extended campus sites and center, enrollment will increase. Access also continues to expand through partnerships with Kentucky Tech schools, industries, health-care providers, and others.

U. K. Community College System
Headcount Enrollment Projection
Fall Semesters
1994 - 1998



Note: Fall 1994 enrollment is a projection based on a 0.7% increase from fall 1993 actual enrollment. (0.7% increase occurred from fall 1992 to fall 1993.)

New and expanded activities to increase the college-going rates will impact enrollment growth. These include scholarships for GED recipients, new and renewed scholarship programs with industries, and new and expanded minority recruitment and retention activities.

Funding continues for student financial aid programs as provided by the 1990 Kentucky General Assembly, and this will impact enrollment. Funds were provided in the formula-based appropriations for a new Commonwealth Scholars program through which the institutions provide scholarships to academically distinguished students. The Community College System will receive $214,800 in 1994-95 for Commonwealth Scholarships, a 64 percent increase over a five-year period. Also, the College Access Program (CAP) continues to provide grants for financially-needy Kentucky students.

Major Programmatic Trends. A coalition of Kentucky business, government and education leaders pointed out that Kentucky is a part of a "global community," the evolution of which is driven by new technologies, new economic realities, and new international relationships (Project 21,3). Kentucky cannot and does not live in isolation as already witnessed by the arrival and expansion of Toyota Motor Manufacturing of Japan, along with numerous ancillary entities. These state leaders also emphasized that education is the single most important challenge to Kentucky's economic development in the 21st century. They stressed that new emphasis on basic skills (thinking, communicating, reading, and computing), new education delivery systems, and new emphasis on lifelong learning are the three areas in education that can have the greatest potential for influencing the state's economic development (Project 21, 6).

The comprehensive mission of the Community College System positions it to continue to respond to the state's challenges in the areas of education and training. The transfer program will grow significantly with the final approval of the Council on Higher Education Transfer Committee Report which will enable community college students with an AA or AS degree to enter universities as juniors with all lower division general education course work completed. Other factors impacting growth in the transfer program include the community college/university dual admission concept, honors programs and other programs that attract

quality students, the development of statewide Tech Prep agreements with secondary schools, and additional two plus two programs with baccalaureate institutions.

Through strong links with the Kentucky Cabinet for Economic Development, the Kentucky Cabinet for Workforce Development, and business and industry, the System will continue to develop and implement new associate degree programs. Examples include Environmental Science, Quality Technology, Engineering, Allied Health and Nursing. It is projected that the need for health-care technicians will continue as Kentucky's aging population increases. One estimate is that "by the year 2000, we will have a higher proportion of people age 55 and over than will the nation overall" (Project 21, 12). The development of an Occupational Studies Program is currently in progress and will be implemented on a pilot basis. The elimination of low productivity programs and the reallocation of resources to critical programs will continue.

An expanded and enhanced array of academic and support services (assessment/placement centers, developmental courses, career counseling, computing resources) will be needed to improve student retention and to better serve the entire spectrum of community college students.

The continuing education and community service programs will continue to expand in response to the needs of the communities and business and industry. Efforts in adult literacy, adult basic education, GED preparation and testing services will increase as more employers demand that workers have basic skills.

New delivery systems for educational programs will become a reality in the near future. For example, the Community College System in collaboration with Kentucky Telecommunications Consortium, will study the feasibility of offering a transferable associate degree solely through the use of telecourses and other distance learning strategies, such as portfolio and independent study. If such a program is implemented on a pilot basis, the Public Broadcasting System's (PBS) Adult Learning Services will assist. Additionally, more mobile programs will be used to deliver costly programs on a short-term basis.

Continuous quality improvement will remain essential to all academic programs, student support services, and administrative components. This systemwide effort will include even

more rigorous assessment of the effectiveness of programs and services and the development of strategies for improvement or elimination.

Capital Project Funding. Capital projects (new facilities and major repair/renovation projects) are generally funded by direct state appropriations, agency funds, or through the sale of bonds, which the state supports through funds appropriated for debt service. In recent years, the state has leaned heavily toward the provision of debt service rather than direct appropriations for capital projects. For the future, it is anticipated that the state will pursue new avenues of financing capital projects such as the use of lottery funds, local private and public funds, and federal funds. Funding for several community college projects in recent biennia has been authorized with the contingency that a portion of the first year's debt service be financed using private funds donated by local sources. Emphasis has also been placed on using several sources of funds to finance projects. One community college project funded in the 1988-90 biennium is being constructed using funds from three federal sources, debt service provided by the state and local community funds.

Overall, the immediate outlook for future capital projects for the Community College System is somewhat bleak. Design funds for a Student, Performing Arts and Regional Classroom Center at Hazard Community College and a classroom building at Ashland Community College were allocated by the 1992 General Assembly. Also, the design of a Regional Technical Training Center at Hopkinsville Community College was funded by the Governor between General Assembly sessions. However, funding for the construction of these projects was not approved by the 1994 General Assembly.

Additionally, the following facilities were recommended to the 1994 General Assembly for bond funding; however, funding was not approved.

- Lexington Community College: Campus Expansion--$14.5 million
- Paducah Community College: Classroom/Services Building--$5 million
- Prestonsburg Community College: Pikeville Classroom Building--$5 million
- Somerset Community College: Classroom/Student Center--$5 million
- London/Corbin Community College--$13.5 million

- Southeast Community College: Whitesburg Academic/Tech. Bldg.--$5 million
- Prestonsburg Community College: Classroom/Health Education Bldg.--$9 million

Thus, many objectives are on hold until the next session of the General Assembly.

Projects Currently Funded or in Progress. The Kentucky Rural Economic Development Center located at Somerset Community College is under construction and due to be completed in the fall of 1995. This project was authorized by the 1988 Kentucky General Assembly at $9.8 million, and with an interim scope increase is currently budgeted for $13 million.

Southeast Community College's Bell County Facility (located in Middlesboro, Kentucky) is under construction, and occupancy is expected in spring 1995. This project was authorized by the 1990 General Assembly with a scope of almost $9.9 million.

Capital Equipment. For the most part, capital equipment purchased by the community colleges is funded from non-recurring fund balances that remain with public institutions of higher education at the end of each fiscal year. In recent biennia, the Community College System has given high priority to the allocation of recurring funds to the colleges for this purpose. The System will continue to give high priority to these needs as new funds are made available.

Future Activities and Areas of Focus. Due to age of facilities, high utilization rates and enrollment growth, future requests must focus on providing instructional and state-of-the-art laboratory facilities. Provision must be made for additional office space to house new faculty and staff required to keep pace with the enrollment growth. Additionally, space must be provided for support programs; i.e., learning resources centers, student and academic support programs. Facilities will also be requested to complete the campuses (student centers, maintenance and operations building, and auditoriums) and provide for the needs of off-campus centers. Due to the age of many community college facilities, relocation of programs

to new facilities, environmental/safety considerations, and technological obsolescence, it will be necessary to renovate instructional, laboratory, and support program space throughout the System. Major infusion of funding will be required for the repair and upgrade of roofs, parking lots, HVAC and utility systems, and other areas of the physical plant.

Communications and Information Systems. The Technology Strategic Plan calls for completion of the communications infrastructure at each of the 14 community colleges and connection to the University Wide Area Network (WAN). That is, each college will have: a T1 circuit to Lexington, fiber optic cable between college buildings, a campus-wide ethernet local area network, and internal wiring for each office and classroom. Within the 1994-95 academic year, three of the colleges, Jefferson Community College, Southeast Community College, and Prestonsburg Community College, will join Owensboro Community College in having at least partial installation of the planned configuration. A National Science Foundation grant for mathematics curriculum improvement has been funded and will provide ethernet LANs and model mathematics computer labs for all 14 colleges. Another National Science Foundation grant, if awarded, will provide in 1994-95 T1 circuits and WAN connectors to the six remaining colleges without such services. If the National Science Foundation Grant is not funded, infrastructure improvements at these colleges will continue incrementally, using any funds that may be made available.

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